

#3

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

JUN 25 1999

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

"TRADE FINANCING METHOD, INSTRUMENTS AND SYSTEMS", the specification of which

☐ is attached hereto

☒ was filed on March 5, 1999 as United States Application Number 09/264,171.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR §1.56.

I hereby claim foreign priority benefits under 35 U.S.C. §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or §365(e) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)	Country	Filing Date (mm/dd/yyyy)	Priority Claimed?	Certified Copy Attached?

I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (mm/dd/yyyy)

I hereby claim the benefit under 35 U.S.C. §120 of any United States application(s) designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. §112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR §1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

U.S. Parent Application Number	PCT Parent Number	Parent Filing Date (mm/dd/yyyy)	Parent Patent Number (if applicable)

As a named inventor, I hereby appoint Anthony H. Handal, Reg. No. 26,275; Christopher C. Boehm, Reg. No. 41,624; and Daniel H. Beaty, Reg. No. 42,307 as my attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

Address all telephone calls to Anthony H. Handal at
(203) 838-8589

Address all correspondence to: Anthony H. Handal
Handal & Morofsky
80 Washington Street
Norwalk, Connecticut 06854
Fax (203) 838-8794

I hereby declare that all statements made herein of my/our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of Sole or First Inventor:	Leslie STROH
Residence:	New Lisbon, NY
Citizenship:	USA
Post Office Address:	1 Meyers Mill Road, New Lisbon, NY 13415
Inventor's Signature:	<i>Leslie Stroh</i> Date: 5/7/98

[] Additional inventors are being named on separately numbered sheets attached hereto.

Applicant or Patentee: Leslie STROH
Serial No.: 09/264,171
Filed: March 5, 1999
For: TRADE FINANCING METHOD, INSTRUMENTS AND SYSTEMS

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) and 1.27(b))-SMALL BUSINESS CONCERN

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
☒ an official for the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN TRADE FINANCE SERVICE CORPORATION
ADDRESS OF CONCERN 90 John Street, Suite 505, New York, New York 10038

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18 and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled TRADE FINANCING METHOD, INSTRUMENTS AND SYSTEMS by inventor Leslie STROH, described in

- ☐ the specification filed herewith
☒ Patent Application Serial No. 09/264,171, filed March 5, 1999.
☐ patent No. _____, issued _____.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). *NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

FULL NAME _____ ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Leslie STROH

TITLE OF PERSON OTHER THAN OWNER Secretary

ADDRESS OF PERSON SIGNING 1 Meyers Mill Road, New Lisbon, NY 13415

SIGNATURE Leslie Stroh DATE 5/7/99